



11-06-06 IFW

3628/18

PTO/SB/21 (09-08)

Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

18

Application Number

09/687,892

Filing Date

October 13, 2000

First Named Inventor

Philip Koh-Kwe Hsu, et al.

Art Unit

3628

Examiner Name

Sara M. Chandler

Attorney Docket Number

74622-014

ENCLOSURES (Check all that apply)



Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Reply to Missing Parts/
Incomplete Application



Reply to Missing Parts
under 37 CFR 1.52 or 1.53



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a
Provisional Application



Power of Attorney, Revocation
Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD



After Allowance Communication to TC



Appeal Communication to Board
of Appeals and Interferences



Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Other Enclosure(s) (please identify
below):

1- Returned Post card

2-Response to Non-Compliant Amendment

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Proskauer Rose, LLP

Signature

John C. Stellabotte

Printed name

John C. Stellabotte

Date

November 3, 2006

Reg. No.

47,969

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as **EXPRESS MAIL # EV 687973729 US** mail in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Elizabeth Savarez

Typed or printed name

Elizabeth Tavarez

Date

November 3, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT
Attorney Docket No.: 74622-014

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Philip Koh-Kwe Hsu, et al.
Serial No. : 09/687,892
Filing Date : October 13, 2000
Entitled : SYSTEM AND METHOD FOR DELIVERING A FINANCIAL
MESSAGE
Examiner : Sara M. Chandler
Group Art Unit: 3628

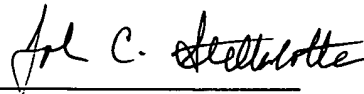
RESPONSE TO NOTICE OF NON-COMPLIANT AMENDMENT

Sir:

Applicants respectfully submit the following response to the Notice of Non-Compliant Amendment (37 C.F.R. § 1.121) mailed on October 10, 2006 ("the Notice"). The Notice is apparently based on a draft set of claims submitted to the Examiner for discussion prior to the interview conducted on July 31, 2006. Those draft claims were not intended to be Applicants' response to the Office Action mailed on May 4, 2006. Applicants have submitted concurrently with this response an Amendment and Response To May 4, 2006 Office Action and Petition For 3-Month Extension Of Time.

Respectfully submitted,

PROSKAUER ROSE LLP
Attorneys for Applicants

By 

John C. Stellabotte
Reg. No. 47,969

Date: November 3, 2006

PROSKAUER ROSE LLP
1585 Broadway
New York, NY 10036-8299
Telephone: (212) 969-3000